

CLAIMS

What is claimed is:

1. A method for providing centralized employee stock plan administration, comprising:

receiving identification information from a user;

determining the user's entitlement to available features based on the identification information; and

displaying an administrator's dashboard interface screen including therein an administrator's dashboard interface that provides at metrics according to the user's entitlement, the metric associated with at least one employee stock plan of a company, the metric providing users with key numerical data regarding at least one employee stock plan.

2. The method of claim 1, comprising displaying an administrator's dashboard interface providing at least one metric associated with at least one employee stock plan, the metric comprising at least one of processing statistics for workflow requests, processing statistics for reporting requests, plan activity for particular employee stock plans, and plan statistics for particular stock plans.

3. The method of claim 2, wherein the plan activity metric comprises data pertaining to at least one of the number of shares of company stock exercised, vested, expired, settled, and released, and wherein the plan statistics comprises data pertaining to at least one of the number of active participants, outstanding grants, outstanding options, outstanding plan value, outstanding shares, and total elections.

4. The method of claim 1, comprising displaying an administrator's dashboard interface providing the user with at least one feature selected from a group consisting of alerts, contact information, and market information.

5. The method of claim 1, comprising determining, based on the identification information, the user's company specific entitlement to available features.

6. The method of claim 1, comprising displaying an administrator's dashboard interface screen including therein at least one of a plurality of available key business function

navigation elements displayed according to user's entitlements, the key business function navigation elements allowing users to access therewith key business functions.

7. The method of claim 6, wherein the key business function navigation elements are displayed consistently within each of the key business function interface screens.

8. The method of claim 8, wherein the key business navigation elements allows users to access key business functions comprising at least one of an administrator's dashboard function, a participant inquiry function, a workflow function, a reporting function, a site administration function, a file exchange function, a client profile function, and an events calendar function.

9. The method of claim 8, comprising:

displaying a participant inquiry interface screen in response to a user's navigation request, the participant inquiry interface screen including form elements therein allowing the user to specify search criteria to search for participants of at least one employee stock plan;

receiving therewith the search criteria from the user; and

displaying a search result interface screen listing participants matching the user's search criteria, the search result interface screen including at least one navigation element therein allowing the user to access participant information for a particular participant.

10. The method of claim 9, comprising:

receiving a request for a participant profile for a particular participant; and

displaying a participant profile interface screen in response thereto, the participant profile interface screen providing personal information relating to the participant, and including therein navigation elements allowing a user to access at least one of administration data, comments, registration data, leave of absence data, participant plan information, and trade summaries for the selected participant.

11. The method of claim 8, comprising displaying a workflow interface screen in response to a user's navigation request, the workflow interface screen providing a status summary for workflow requests.

12. The method of claim 11, comprising displaying a workflow interface screen including therein form elements allowing a user to specify search criteria to search for workflow requests;

receiving therewith search criteria from the user; and

displaying a search result interface screen listing workflow requests matching the user's search criteria, the search result interface screen including at least one navigation element therein allowing the user to access a case summary for a particular workflow request.

13. The method of claim 11, comprising displaying a workflow interface screen in response to a user's navigation request, the workflow interface screen providing a status summary for workflow requests submitted by all users assigned a specific role.

14. The method of claim 11, comprising:

displaying a workflow interface screen including form elements therein allowing a user to submit a particular type of a new workflow request;

receiving a new workflow request; and

displaying a new workflow request interface screen particular to the type of workflow request received, the workflow request interface screen including form elements therein allowing the user to specify details of the request.

15. The method of claim 14, wherein the workflow interface screen includes therein a participant ID form element requiring the user to input a participant's identification number in order to initiate a new workflow request for a participant, the form elements included in the new workflow request interface screen automatically populated based on the participant's identification number.

16. The method of claim 14, comprising displaying a workflow interface screen including form elements therein allowing a user to submit a particular type of new workflow request selected from a group consisting of a general change request for a participant, a request for a participant demographic change, a grant change request, a request to indicate participant termination, a request for a participant tax profile change, a request for an exercise revision, a request to block users from the system, and a request to change insider status.

17. The method of claim 11, the workflow interface screen including therein at least one navigation element associated with a particular workflow requests listed therein allowing the user to request a workflow case summary.

18. The method of claim 8, comprising displaying a plan reporting interface screen in response to a user's navigation request, the plan reporting interface screen allowing the user to request a report based on at least one of user defined criteria and a report template of a plurality of available templates, and allowing the user to view reports.

19. The method of claim 18, wherein the plan reporting interface screen includes therein navigation elements allowing a user to navigate to an interface screen selected from a group consisting of a run report interface screen allowing a user to request a report therewith, a report queue interface screen providing a list of active, pending, scheduled, and failed reports, and a finished report interface screen listing reports that the user is entitled to view, the finished report interface screen including navigation elements therein allowing the user to request an action with respect to the listed reports.

20. A method for providing centralized employee stock plan administration, comprising:

receiving identification information from a user;

determining the user's entitlement to available features based on the identification information; and

displaying an administrator's dashboard interface screen including therein an administrator's dashboard interface that provides at least one metric according to user entitlement, the metric associated with at least one employee stock plan of a company, the metric comprising at least one metric selected from the group consisting of processing statistics for workflow requests, processing statistics for reporting requests, plan activity for particular employee stock plans, and plan statistics for particular stock plans, the administrator's dashboard interface providing the user with at least one feature selected from the group consisting of alerts, contact information, and market information, the administrator's dashboard interface including a plurality of key business function navigation elements displayed according to user's entitlements allowing the user to access key business functions selected from the group consisting of an administrator's dashboard function, a

participant inquiry function, a workflow function, a reporting function, a site administration function, a file exchange function, a client profile function, and an events calendar function.

21. A method of providing centralized employee stock plan administration comprising:

displaying a participant inquiry interface screen in response to a user's navigation request, the participant inquiry interface screen including form elements therein allowing a user to specify search criteria to search participants of at least one employee stock plan;

receiving therewith search criteria from the user;

displaying a search result interface screen listing participants matching the user's search criteria, the search result interface screen including at least one navigation element therein allowing the user to access participant information for a particular participant;

receiving a request for a participant profile for a particular participant; and

displaying a participant profile interface screen in response thereto, the participant profile interface screen providing personal information relating to the participant, and including therein navigation elements allowing the user to access at least one of administration data, comments, registration data, leave of absence data, participant plan information, and trade summaries for the selected participant.

22. A method of providing centralized employee stock plan administration comprising:

displaying a workflow interface screen in response to a user's navigation request, the workflow interface screen providing a status summary for workflow requests, the workflow interface screen including therein form elements therein allowing a user to submit a particular type of new workflow request selected from a group consisting of a general change request for a participant, a request for a participant demographic change, a grant change request, a request to indicate participant termination, a request for a participant tax profile change, a request for an exercise revision, a request to block users from the system, and a request to change insider status;

receiving a new workflow request; and

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displaying a new workflow request interface screen particular to the type of workflow request received, the workflow request interface screen including form elements therein allowing the user to specify details of the request.

23. A method of providing centralized employee stock plan administration comprising:

displaying a plan reporting interface screen in response to a user's navigation request, the plan reporting interface screen allowing a user to request a report based on at least one of user defined criteria and a report template of a plurality of available templates, and allowing the user to view reports, the plan reporting interface screen including therein navigation elements allowing a user to navigate to an interface screen selected from the group consisting of a run report interface screen allowing a user to request a report therewith, a report queue interface screen providing a list of active, scheduled, and completed reports, and a finished report interface screen listing reports that the user is entitled to view, the finished report interface screen including navigation elements therein allowing the user to request an action with respect to the listed reports.

24 A system for providing centralized employee stock plan administration comprising at least one server computer connected over a communication network to at least one client device, the at least one server computer including application programming, the system therewith capable of:

receiving identification information from a user;

determining the user's entitlement to available features provided by the system based on the identification information; and

displaying an administrator's dashboard interface screen including therein an administrator's dashboard interface that provides at least one metric according to the user's entitlement, the metric associated with at least one employee stock plan of a company, the metrics providing users with key numerical data regarding at least one employee stock plan.

25. The system of claim 24, wherein the server computer is capable of displaying an administrator's dashboard interface providing at least one metric associated with at least one employee stock plan, the metric comprising at least one of processing statistics for

workflow requests, processing statistics for reporting requests, plan activity for particular employee stock plans, and plan statistics for particular stock plans.

26. The system of claim 25, wherein the plan activity metric comprises data pertaining to at least one of the number of shares of company stock exercised, vested, expired, settled, and released, and wherein the plan statistics comprises data pertaining to at least one of the number of active participants, outstanding grants, outstanding options, outstanding plan value, outstanding shares, and total elections.

27. The system of claim 24, wherein the server computer is capable of displaying an administrator's dashboard interface providing the user with at least one feature selected from the group consisting of alerts, contact information, and market information.

28. The system of claim 24, wherein the server computer is capable of determining, based on the identification information, the user's company specific entitlement to available features.

29. The system of claim 24, wherein the server computer is capable of displaying an administrator's dashboard interface screen including therein at least one of a plurality of available key business function navigation elements displayed according to user's entitlements, the key business function navigation elements allowing users to access therewith key business functions.

30. The system of claim 29, wherein the key business function navigation elements are displayed consistently within each of the key business function interface screens.

31. The system of claim 29, wherein the key business navigation elements allows users to access key business functions comprising at least one of an administrator's dashboard function, a participant inquiry function, a workflow function, a reporting function, a site administration function, a file exchange function, a client profile function, and an events calendar function.

32. The system of claim 32, the server computer capable of:

displaying a participant inquiry interface screen in response to a user's navigation request, the participant inquiry interface screen including form elements therein allowing the user to specify search criteria to search for participants of at least one employee stock plan;

receiving therewith the search criteria from the user; and

displaying a search result interface screen listing participants matching the user's search criteria, the search result interface screen including at least one navigation element therein allowing the user to access participant information for a particular participant.

33. The system of claim 32, the server computer capable of:

receiving a request for a participant profile for a particular participant; and

displaying a participant profile interface screen in response thereto, the participant profile interface screen providing personal information relating to the participant, and including therein navigation elements allowing a user to access at least one of administration data, comments, registration data, leave of absence data, participant plan information, and trade summaries for the selected participant.

34. The system of claim 31, the server capable of displaying a workflow interface screen in response to a user's navigation request, the workflow interface screen providing a status summary for workflow requests.

35. The system of claim 34, the server capable of displaying a workflow interface screen including therein form elements allowing a user to specify search criteria to search workflow requests;

receiving therewith search criteria from the user; and

displaying a search result interface screen listing workflow requests matching the user's search criteria, the search result interface screen including at least one navigation element therein allowing the user to access a case summary for a particular workflow request.

36. The method of claim 34, the server capable of displaying a workflow interface screen in response to a user's navigation request, the workflow interface screen providing a status summary for workflow requests submitted by all users assigned a specific role.

37. The system of claim 34, the server capable of:

displaying a workflow interface screen including form elements therein allowing a user to submit a particular type of a new workflow request;

receiving a new workflow request; and

displaying a new workflow request interface screen particular to the type of workflow request received, the workflow request interface screen including form elements therein allowing the user to specify details of the request.

38. The system of claim 37, wherein the workflow interface screen includes therein a participant ID form element requiring the user to input a participant's identification number in order to initiate a new workflow request for a participant, the form elements included in the new workflow request interface screen automatically populated based on the participant's identification number.

39. The system of claim 37, the server capable of displaying a workflow interface screen including form elements therein allowing a user to submit a particular type of a new workflow request selected from a group consisting of a general change request for a participant, a request for a participant demographic change, a grant change request, a request to indicate participant termination, a request for a participant tax profile change, a request for an exercise revision, a request to block users from the system, and a request to change insider status.

40. The system of claim 34, the workflow interface screen including therein at least one navigation element allowing the user to request a workflow case summary.

41. The system of claim 31, the server capable of displaying a plan reporting interface screen in response to a user's navigation request, the plan reporting interface screen allowing the user to request a report based on at least one of user defined criteria and a report template of a plurality of available templates, and allowing the user to view reports.

42. The system of claim 41, wherein the plan reporting interface screen includes therein navigation elements allowing a user to navigate to an interface screen selected from the group consisting of a run report interface screen allowing a user to request a report therewith, a report queue interface screen providing a list of active, scheduled, and completed reports, and a finished report interface screen listing reports that the user is entitled to view, the finished report interface screen including navigation elements therein allowing the user to request an action with respect to the listed reports.

43. A system for providing centralized employee stock plan administration comprising at least one server computer connected over a communication network to at least

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one client device, the at least one server computer including application programming, the system therewith capable of:

receiving identification information from a user;

determining the user's entitlement to available features based on the identification information; and

displaying an administrator's dashboard interface screen including therein an administrator's dashboard interface that provides at least one metric according to user entitlement, the metric associated with at least one employee stock plan of a company, the metric comprising at least one metric selected from the group consisting of processing statistics for workflow requests, processing statistics for reporting requests, plan activity for particular employee stock plans, and plan statistics for particular stock plans, the administrator's dashboard interface providing the user with at least one feature selected from the group consisting of alerts, contact information, and market information, the administrator's dashboard interface including a plurality of key business function navigation elements displayed according to user's entitlements allowing the user to access key business functions selected from the group consisting of an administrator's dashboard function, a participant inquiry function, a workflow function, a reporting function, a site administration function, a file exchange function, a client profile function, and an events calendar function.

44. A system for providing centralized employee stock plan administration comprising at least one server computer connected over a communication network to at least one client device, the at least one server computer including application programming, the system therewith capable of:

displaying a participant inquiry interface screen in response to a user's navigation request, the participant inquiry interface screen including form elements therein allowing a user to specify search criteria to search participants of at least one employee stock plan;

receiving therewith search criteria from the user;

displaying a search result interface screen listing participants matching the user's search criteria, the search result interface screen including at least one navigation element therein allowing the user to access participant information for a particular participant;

receiving a request for a participant profile for a particular participant; and

displaying a participant profile interface screen in response thereto, the participant profile interface screen providing personal information relating to the participant, and including therein navigation elements allowing the user to access at least one of administration data, comments, registration data, leave of absence data, participant plan information, and trade summaries for the selected participant.

45. A system for providing centralized employee stock plan administration comprising at least one server computer connected over a communication network to at least one client device, the at least one server computer including application programming, the system therewith capable of:

displaying a workflow interface screen in response to a user's navigation request, the workflow interface screen providing a status summary for workflow requests, the workflow interface screen including therein form elements therein allowing a user to submit a particular type of new workflow request selected from a group consisting of a general change request for a participant, a request for a participant demographic change, a grant change request, a request to indicate participant termination, a request for a participant tax profile change, a request for an exercise revision, a request to block users from the system, and a request to change insider status;

receiving a new workflow request; and

displaying a new workflow request interface screen particular to the type of workflow request received, the workflow request interface screen including form elements therein allowing the user to specify details of the request.

46. A system for providing centralized employee stock plan administration comprising at least one server computer connected over a communication network to at least one client device, the at least one server computer including application programming, the system therewith capable of:

displaying a plan reporting interface screen in response to a user's navigation request, the plan reporting interface screen allowing a user to request a report based on at least one of user defined criteria and a report template of a plurality of available templates, and allowing the user to view reports, the plan reporting interface screen including therein navigation elements allowing a user to navigate to an interface screen selected from the group consisting

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of a run report interface screen allowing a user to request a report therewith, a report queue interface screen providing a list of active, scheduled, and completed reports, and a finished report interface screen listing reports that the user is entitled to view, the finished report interface screen including navigation elements therein allowing the user to request an action with respect to the listed reports.